

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, D.C. 20231

on _____

By _____

RECEIVED

MAR 15 2001

TECH CENTER 1600/2900

PATENT

Attorney Docket No. 02307E-065020US
UC Case No. 96-155-3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

William J. Welch *et al.*

Serial No.: 09/291,406

Filed: April 13, 1999

For: CORRECTION OF GENETIC
DEFECTS USING CHEMICAL
CHAPERONES

Examiner: L. Leary

Art Unit: 1623

**POWER OF ATTORNEY BY ASSIGNEE
AND EXCLUSION OF INVENTOR(S) UNDER 37 CFR § 3.71**

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The undersigned assignee of the entire interest in the above-identified subject application hereby appoints

Hector A. Alicea, Reg. No. 40,891
Randolph T. Apple, Reg. No. 36,429
Kevin L. Bastian, Reg. No. 34,774
Guy Chambers, Reg. No. 30,617
Karen B. Dow, Reg. No. 29,684

M. Henry Heines, Reg. No. 28,219
Laurence J. Hyman, Reg. No. 35,551
Jeffrey J. King, Reg. No. 38,515

Joe Liebeschuetz, Reg. No. 37,505
Jeffry S. Mann, Reg. No. 42,837
Annette S. Parent, Reg. No. 42,058
Steven W. Parmelee, Reg. No. 31,990
Brian W. Poor, Reg. No. 32,928

Timothy L. Smith, Reg. No. 35,367
William M. Smith, Reg. No. 30,223
Joseph P. Snyder, Reg. No. 39,381
John R. Storella, Reg. No. 32,944
Eugenia Garrett-Wackowski, Reg. No. 37,330
Ellen Lauver Weber, Reg. No. 32,762
Kenneth A. Weber, Reg. No. 31,667

RECEIVED

MAR 16 2001

TECH CENTER 1600/2900

all of the firm of Townsend and Townsend and Crew LLP, as its attorneys to prosecute this application and to transact all business in the United States Patent and Trademark Office connected therewith, said appointment to be to the exclusion of the inventors and their attorney(s) in accordance with 37 CFR § 3.71.

An assignment of the entire interest in the above-identified subject application:

☐ was recorded on _____ at reel/frame
_____/_____.

☒ is being concurrently submitted under separate cover to Attn: Box

Assignments for recording, a copy not for recordation is enclosed.

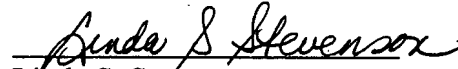
Please direct all telephone calls to Hector A. Alicea and all correspondence relative to said application to the following address:

Townsend and Townsend and Crew LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834

ASSIGNEE:

THE REGENTS OF THE
UNIVERSITY OF CALIFORNIA

Signature:



Typed Name:

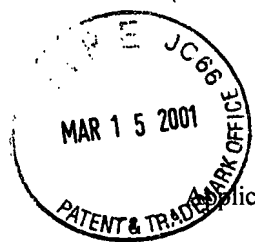
Linda S. Stevenson

Title:

Principal Prosecution Analyst
Office of Technology Transfer
1111 Franklin Street, 12th Floor
Oakland, CA 94607-5200

Dated: March 22, 2000

rev. 3/30/99
SF 151310 v1
SF 211234 v1



Attorney Docket No. 02307E-065020US
Client Ref. No. 96-155-3

CERTIFICATE UNDER 37 C.F.R. § 3.73(b)

Applicant: William J. Welch, C. Randell Brown, Jorg Tatzelt

Application No.: 09/291,406

Filed: April 13, 1999

For: CORRECTION OF GENETIC DEFECTS USING CHEMICAL CHAPERONES

The Regents of the Univeristy of California, a California corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

certifies that it is assignee of the patent application identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame(s) _____, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: March 22, 2000

Name: Linda S. Stevenson

Title: Principal Prosecution Analyst

Signature: Linda S. Stevenson

rev. 4/99

SF 150638 v1

SF 1025824 v1



JUNE 22, 2000

PTAS
TOWNSEND AND TOWNSEND AND CREW LLP
HECTOR A. ALICEA
TWO EMBARCADERO CENTER
8TH FLOOR
SAN FRANCISCO, CA 94111-3834

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231



101359723A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/14/2000

REEL/FRAME: 010695/0926
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
WELCH, WILLIAM J.

DOC DATE: 10/24/1999

ASSIGNOR:
BROWN, C. RANDELL

DOC DATE: 11/22/1999

ASSIGNOR:
TATZELT, JORG

DOC DATE: 11/01/1999

ASSIGNEE:
REGENTS OF THE UNIVERSITY OF
CALIFORNIA, THE
1111 FRANKLIN STREET
12TH FLOOR
OAKLAND, CALIFORNIA 94607-52001

SERIAL NUMBER: 09291406
PATENT NUMBER:

FILING DATE: 04/13/1999
ISSUE DATE:

RECEIVED
00 JUN 29 AM 10:20
TOWNSENDS TOWNSHENDS
6 CREDIT

COPY

010695/0926 PAGE 2

DIANE RUSSELE, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

3-14-00



06-21-2000



101359723

ey Docket No. 02307E-065020US

FORM PTO-1595
(Rev. 6-93)

To the Honorable Asst. Commissioner for Patents

U.S. Department of Commerce
Patent and Trademark Office

Documents or copy thereof

1. Name of conveying party(ies):

William J. Welch, C. Randell Brown, Jörg Tatzelt

Additional name(s) of conveying parties attached? ☐ Yes
☒ No.

3. Nature of conveyance:

☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: 10/24/99, 11/1/99, 11/22/99

2. Name and address of receiving party(ies)

Name: The Regents of the University of California

Internal Address:

Street Address: 1111 Franklin St., 12th Floor

City: Oakland State: CA ZIP: 94607-5208

Additional names and addresses attached? ☐ Yes ☒ No

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is: April 13, 1999.

A. Patent Application No(s): 09/291,406

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Hector A. Alicea
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved one

7. Total fee (37 CFR 3.41): \$40.00

☐ Enclosed ☒ Charge Fees to Deposit Account

☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true of copy of the original document.

Hector A. Alicea
Name of Person Signing

Hector A. Alicea
Signature

3/8/00
Date

Atty Reg. No. 40,891

Total number of pages including cover sheet, attachments and document Four

10. Change Correspondence Address to that of Part 5? ☐ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

Mail documents to be recorded with required cover to:

Do not detach this portion

04/17/2000 TTON11 00000520 201430 09291406
01 FC:581 40.00 CH

Asst. Commissioner for Patents
Box: Assignments
Washington, D.C. 20231

RECEIVED
MAR 14 PM 3:21
OPS/FINANCE

ASSIGNMENT

U.C. Case No. 96-155-3

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. William J. Welch

2. C. Randell Brown

3. Jörg Tatzelt _____ 4. _____

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

CORRECTION OF GENETIC DEFECTS USING CHEMICAL CHAPERONES

and which is found in

(a) U.S. provisional application filed herewith and listing the above-named persons as inventors

(b) _____ U.S. provisional application filed herewith and listing the above-named persons as inventors

(c) X U.S. application serial no. 09/291,406
 filed on April 13, 1999

(d) _____ U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

day of _____, 19__

William J. Welch

day of _____, 19__

C. Randell Brown

1 day of November, 1995

~~Jörg Tatzert~~

ASSIGNMENT

U.C. Case No. 96-155-3

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. William J. Welch

2. C. Randell Brown

3. Jörg Tatzelt

4. _____

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located 1111 Franklin St., 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

CORRECTION OF GENETIC DEFECTS USING CHEMICAL CHAPERONES

and which is found in

(a) U.S. provisional application filed herewith and listing the above-named persons as inventors

(b) U.S. provisional application filed herewith and listing the above-named persons as inventors

(c) X _____ U.S. application serial no. 09/291,406
 filed on April 13, 1999

(d) _____ U.S. Patent No.: _____; issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenants that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenants that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) requests the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

Signature of Inventor(s)

____ day of _____, 19____

22 day of November, 1999

day of _____, 19__

William J. Welch

C. Randall Brown
C. Randall Brown

Jörg Tatzelt



Attorney

Pat. No. 02307E-065020US

FORM PTO-1595
(Rev. 6-93)Recordation Form Cover Sheet
(Patents Only)U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Asst. Commissioner for Patents. Please record the attached original document and a copy thereof.

1. Name of conveying party(ies): **MAR 14 PM 3:21**
OPR/FINANCE

William J. Welch, C. Randolph Brown, Jörg Tatzelt

Additional name(s) of conveying parties attached? ☐ Yes☒ No.

2. Name and address of receiving party(ies)

Name: The Regents of the University of California

Internal Address:

Street Address: 1111 Franklin St., 12th Floor

City: Oakland State: CA ZIP: 94607-5200

Additional names and addresses attached? ☐ Yes ☒ No

3. Nature of conveyance:

3-14-00☒ Assignment ☐ Merger☐ Security Agreement ☐ Change of Name☐ Other:

Execution Date: 10/24/99, 11/1/99, 11/22/99

4. Application Number(s) or Patent Numbers.

If this document is being filed together with a new application, the execution date of the application is: April 13, 1999.

A. Patent Application No(s): 09/291,406

B. Patent No(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Hector A. Alicea
TOWNSEND AND TOWNSEND AND CREW LLP
Two Embarcadero Center, 8th Floor
San Francisco, California 94111-3834
(415) 576-0200

6. Total number of applications and patents involved one

7. Total fee (37 CFR 3.41): \$40.00

☐ Enclosed ☒ Charge Fees to Deposit Account☒ Charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to deposit account.

8. Deposit account number: 20-1430

DO NOT USE THIS SPACE

9. Statement and signature.

*To the best of my knowledge and belief, the foregoing is true and correct and any attached copy is a true copy of the original document.*Hector A. Alicea
Name of Person Signing

Signature

Date

Atty Reg. No. 40,891

Total number of pages including cover sheet, attachments and document Four

10. Change Correspondence Address to that of Part 5? ☐ Yes ☐ No

OMB No. 0651-0011 (exp. 4/94)

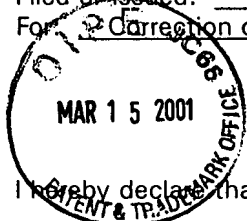
Do not detach this portion

Mail documents to be recorded with required cover to:

Asst. Commissioner for Patents
Box: Assignments
Washington, D.C. 20231

Applicant or Patentee: William J. Welch, et al.
Serial or Patent No.: 09/29,406
Filed or Issued: April 13, 1999
For Correction of Genetic Defects Using Chemical Chaperones

Docket No. 02307E-065020US
U. C. Case No. 96-155-3



VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
[37 CFR § 1.9(f) and § 1.27(d)]--NONPROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: **The Regents of the University of California**
ADDRESS OF ORGANIZATION: **1111 Franklin Street, 12th Floor**
Oakland, California 94607-5200

TYPE OF ORGANIZATION

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
☒ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 601(c) (3)]
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OR THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)
☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE [26 USC § 501(a) and § 501(c) (3)] IF LOCATED IN THE UNITED STATES OF AMERICA
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA
(NAME OF STATE _____)
(CITATION OF STATUTE _____)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR § 1.9(e) for purposes of paying reduced fees under section 41(a) or (b) of Title 35, United States Code with regard to the invention entitled Correction of Genetic Defects Using Chemical Chaperones
by inventor(s) William J. Welch, C. Randell Brown, and Jorg Tatzelt described in

- ☐ the specification filed herewith
☒ application serial no. 09/291,406, filed April 13, 1999
☐ Patent no. _____, issued _____

I hereby declare that rights under **contract or law** have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR § 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(d) or a nonprofit organization under 37 CFR § 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 CFR § 1.27).

NAME N/A
ADDRESS _____
[] INDIVIDUAL [] SMALL BUSINESS CONCERN [] NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. [37 CFR § 1.28(b)]

I hereby declare that all statements made of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine of imprisonment, or both, under 18 USC § 1001, and may jeopardize the validity of the application, any patent issuing thereon, or any patent which this verified statement is directed.

NAME OF PERSON SIGNING: **Linda S. Stevenson**
TITLE IN ORGANIZATION: **Principal Prosecution Analyst, Office of Technology Transfer**
ADDRESS OF PERSON SIGNING: **1111 Franklin Street, 5th Floor**
Oakland, California 94607-5200

SIGNATURE Linda S. Stevenson DATE March 22, 2000